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DOCKET NO.: SOFT-0004

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

11011 U.S. PTO  
10/099752  
03/15/02

In Re Application of:

John C. Munson

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filing Date: Herewith

Examiner: Not Yet Assigned

For: A METHOD FOR SIMPLIFYING THE STRUCTURE OF DYNAMIC  
EXECUTION PROFILES

EXPRESS MAIL LABEL NO.: EL695382595US  
DATE OF DEPOSIT: March 15, 2002

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).

- ☒ In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of \$180.00 as set forth in §1.17(p).
- ☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

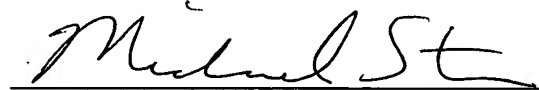
- ☐ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:
- ☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. , filed .
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date: 3/15/02



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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>SOFT-0004</b>	Serial No. <b>Not Yet Assigned</b>
	Applicant <b>John C. Munson</b>	
	Filing Date <b>Herewith</b>	Group <b>Not Yet Assigned</b>

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**U. S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	AA	5,067,073	11/19/91	Andrews	395	375
	AB	5,278,901	01/11/94	Shieh et al.	380	4
	AC	5,313,616	05/17/94	Cline et al.	395	500
	AD	5,355,487	10/11/94	Keller et al.	395	650
	AE	5,487,131	01/23/96	Kassatly et al.	395	62
	AF	5,499,340	03/12/96	Barritz	395	184.01
	AG	5,528,753	06/18/96	Fortin	395	183.11
	AH	5,539,907	07/23/96	Srivastava et al.	395	700
	AI	5,557,742	09/17/96	Smaha et al.	395	186
	AJ	5,581,482	12/03/96	Wiedenman et al.	364	551.01
	AK	5,621,889	04/15/97	Lermuzeaux et al.	395	186
	AL	5,732,273	03/24/98	Srivastava et al.	395	704
	AM	5,790,858	08/04/98	Vogel	395	704
	AN	5,987,250	11/16/99	Subrahmanyam	395	704
	AO	6,009,514	12/28/99	Henzinger et al.	712	236
	AP	6,026,236	02/15/00	Fortin et al.	395	704
	AQ	6,094,530	07/25/00	Brandewie	395	704
	AR	6,266,408 B1	05/01/01	Sirosh	382	224
	AS	6,282,701 B1	08/28/01	Wygodny et al.	717	4
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>		

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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>AT</b>	Anderson, D. et al., "Next-generation intrusion detection expert system (NIDES)," Technical Report, Computer Science Laboratory, SRI International, Menlo Park, CA, SRI-CSL-95-07, May, <b>1995</b> , 1-37 (plus 6 additional pages)	
	<b>AU</b>	Anderson, D. et al., "Detecting Unusual Program Behavior Using the Statistical Component of the Next-generation Intrusion Detection Expert System (NIDES)," SRI-CSL-95-06, SRI International, Menlo Park, CA, May, <b>1995</b> , 1-71, 73-75, 77 (plus 6 additional pages)	
	<b>AV</b>	Aslam, T. et al., "Use of A Taxonomy of Security Faults," Technical Report TR-96-051, COAST Lab., Purdue University, presented at 19th National Information Systems Security Conference, September, <b>1996</b> , 1-10	
	<b>AW</b>	Ball, T. et al., "Optimally Profiling and Tracing Programs," Technical Report #1031, University of Wisconsin, Computer Science Dep., September, <b>1991</b> , 1-27	
	<b>AX</b>	Bishop, M., "A Standard Audit Log Format," <i>Proc. of the 18th National Information Systems Security Conference</i> , <b>1995</b> , 136-145	
	<b>AY</b>	Bishop, M., "Profiling Under UNIX by Patching," <i>Software-Practice and Exp.</i> , October <b>1987</b> , 17(10), 729-739	
	<b>AZ</b>	Crosbie, M. et al., "Defending a Computer System using Autonomous Agents," Technical Report No. 95-022, COAST Laboratory, Dept. of Computer Sciences, Purdue University, March, <b>1994</b> , 1-11	
	<b>BA</b>	Denning, D., "An Intrusion-Detection Model," <i>IEEE Transactions on Software Engineering</i> , February, <b>1987</b> , 13(2), 222-232	
	<b>BB</b>	Elbaum, S. et al., "Intrusion Detection through Dynamic Software Measurement," <i>Proc. Usenix Workshop on Intrusion Detection and Network Monitoring</i> , Santa Clara, California, April 9-12, <b>1999</b> , 1-10	
	<b>BC</b>	Graham, S.L. et al., "An Execution Profiler for Modular Programs," <i>Software-Practice and Exp.</i> , <b>1983</b> , 13, 671-685	
	<b>BD</b>	Hall, R.J., "Call Path Profiling," <i>Proc. 14<sup>th</sup> Int'l Conf. Soft. Engineering</i> , ACM, <b>1992</b> , 296-306	
	<b>BE</b>	Halme, L. et al., "AINT misbehaving - a Taxonomy of Anti-intrusion Techniques," <i>Proc. of the 18th National Information Systems Security Conference</i> , <b>1995</b> , 13 pages	
	<b>BF</b>	Hochberg, J. et al., "NADIR: An Automated System for Detecting Network Intrusion and Misuse," <i>Computers &amp; Security</i> , <b>1993</b> , 12(3), 235-248	
	<b>BG</b>	Ilgun, K., "USTAT: A Real-time Intrusion Detection System for UNIX," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , May 24-26, <b>1993</b> , 16-28	
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	<b>BI</b>	Johnson, "Profiling for Fun and Profit," <i>UNSENIX Winter '90 Conference Proceedings</i> , 1990, 325-330	
	<b>BJ</b>	Jonsson, E. et al. "A Quantitative Model of the Security Intrusion Process Based on Attacker Behavior," <i>IEEE Transactions on Software Engineering</i> , April, 1997, 23(4), 235-245	
	<b>BK</b>	Kumar, S. et al., "A Pattern Matching Model for Misuse Intrusion Detection," <i>Proc. of the 17th National Computer Security Conference</i> , COAST Laboratory, Dept. of Computer Sciences, Purdue University, October, 1994, 11-21	
	<b>BL</b>	Kumar, S. et al., "A Software Architecture to Support Misuse Intrusion Detection," <i>Proc. 18th National Information Systems Security Conference</i> , COAST Laboratory, Dept. of Computer Sciences, Purdue University, March, 1995, 1-17	
	<b>BM</b>	Lankewicz, L. et al., "Real-Time Anomaly Detection Using a Nonparametric Pattern Recognition Approach," Seventh Annual Computer Security Applications Conference, San Antonio, Texas, December 2-6, 1991, 80-89	
	<b>BN</b>	Larus, J.R., "Abstract Execution: A Technique for Efficiently Tracing Programs," <i>Software-Practice and Experience</i> , December, 1990, 20(12), 1241-1258	
	<b>BO</b>	Larus, J.R. et al., "Rewriting Executable Files to Measure Program Behavior," Technical Report #1083, University of Wisconsin, Computer Science Dep., March 25, 1992, 1-17	
	<b>BP</b>	Lunt, T., "A Survey of Intrusion Detection Techniques," <i>Computers &amp; Security</i> , 1993, 12, 405-418	
	<b>BQ</b>	Mukherjee, B. et al., "Network Intrusion Detection," <i>IEEE Network</i> , May/June, 1994, 8(3), 26-41	
	<b>BR</b>	Munson, J., "A Functional Approach to Software Reliability Modeling," In <i>Quality of Numerical Software, Assessment and Enhancement</i> , Boisvert (ed.), Chapman & Hall, London, 1997, 61-76	
	<b>BS</b>	Petersen, K., "IDA - Intrusion Detection Alert," <i>Proc. of the IEEE Annual International Computer Software and Applications Conference</i> , Chicago, IL, September 21-25, 1992, 306-311	
	<b>BT</b>	Porras, P. et al., "Penetration State Transition Analysis - A Rule-Based Intrusion Detection Approach," <i>Eighth Annual Computer Security Applications Conference</i> , IEEE Computer Society Press, November 30 - December 4, 1992, 220-229	
	<b>BU</b>	Power, L.R., "Design and use of a program execution analyzer," <i>IBM Systems J.</i> , 1983, 22(3), 271-294	
	<b>BV</b>	Puketza, N. et al., "A Methodology for Testing Intrusion Detection Systems," <i>IEEE Transactions on Software Engineering</i> , October, 1996, 22(10), 719-729	
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	<b>BW</b>	Shieh et al., "A Pattern-Oriented Intrusion-Detection Model and Its Applications," <i>Proc. of the 1991 IEEE Symposium on Research in Security and Privacy</i> , Oakland, Calif., May 20-22, 1991, 327-342	
	<b>BX</b>	Smaha, S., "Haystack: An Intrusion Detection System," <i>Proceedings of the Fourth Aerospace Computer Security Applications Conference</i> , Orlando, Florida, IEEE Computer Society, December 12-16, 1988, 37-44	
	<b>BY</b>	Smith, M.D., "Tracing with Pixie," Stanford University Technical Report No. CSL-TR-91-497, April 4, 1991, 1-29	
	<b>BZ</b>	Sobirey, M. et al., "The Intrusion Detection System AID. Architecture, and Experiences in Automated Audit Analysis," <i>Proc. of the International Conference on Communications and Multimedia Security</i> , September 23-24, 1996, 278-290	
	<b>CA</b>	Speer, S.E., "Improving UNIX Kernel Performance Using Profile Based Optimization," Winder USENIX, January 17-21, 1994, 181-188	
	<b>CB</b>	Teng, H. et al., "Adaptive Real-Time Anomaly Detection Using Inductively Generated Sequential Patterns," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , Oakland, CA, May 7-9, 1990, 278-284	
	<b>CC</b>	Vaccaro, H. et al., "Detection of Anomalous Computer Session Activity," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , Oakland, CA, May 1-3, 1989, 280-289	
	<b>CD</b>	Wall, D.W., "Global Register Allocation at Link Time," Digital Equipment Corporation, WRL Research Report 86/3, October, 1986 1-20	
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